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NOV 2 9 2006 IN THE UNITED STATES PATENT	AND	TRADEMARK OFFICE
In 12 Patent Application of: Robert MAERZ	)	
Robert MAERZ	)	Examiner: J. Alpert
Serial No. 10/619,510	)	Group Art Unit: 3693
Confirmation No: 7515	)	-
Filed: 16 July 2003	)	
For: Method and System for Offering Securities	)	
Based On Entertainment Concepts	)	

## CERTIFICATE OF MAILING OR TRANSMISSION

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450, or being facsimile transmitted to the USPTO at,	on
ovember 29, 2006.	
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## **INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98.

The documents are being submitted within three (3) months of the filing of this application or entry into the national stage of this application, or before the first Office Action on the merits, whichever is later, therefore no fee or certification is required under 37 C.F.R. § 1.97(The undersigned certifies that either (1) each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in connection with a counterpart foreign application not more than three (3) months prior to the filing of this statement, or (2) no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement).

It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initial a copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380.

Respectfully submitted,

Stephen Hertzler, Reg. No.58,247 Registration No. 39,019

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Suite 900 401 9<sup>th</sup> Street, N.W.

Washington, DC 20004-2128

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## NOV 2 9 2006 W

Sheet

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

1 of 2

Complete if Known		
Application Number	10/619,510	
Filing Date	16 July 2003	
First Named Inventor	Robert MAERZ.	
Art Unit	3693	
Examiner Name	J. Alpert	
Attorney Docket Number	044129-002000	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document  Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	<del></del>	US 6,505,174 B1	January 7, 2003	Keiser et al.	
		US 7,062,457 B1	June 13, 2006	Kaufman	
	<del>                                     </del>				
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	FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant	
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Figures Appear	T⁵
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Examiner Date Signature Considered			
Signature	Examiner	Date	
	Signature	Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NOV 2 9 2006

SUBJECT FORM 1449B/PTO
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	2	of	2

Complete if Known			
Application Number	10,619,510		
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Examiner Name	J. Alpert		
Attorney Docket Number	044129-002000		

	OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.)., date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
		PCT/US04/22129 International Search Report, August 29, 2006.		
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Examiner	Date	
Signature	Considered	

<sup>\*</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.